

General Information (Origin of Request)		
<input type="checkbox"/> User Requirements (URD) <input checked="" type="checkbox"/> Other User Functional or Technical Documentation (SYS)		
Request raised by: 4CB	Institute: 4CB	Date raised: 15/12/2014
Request title: Complete Information on Revisions/Audit Trail Screens in U2A		Request ref. no: T2S 0484 SYS
Request type: Common		Urgency: Normal
1. Legal/business importance parameter: Low	2. Market implementation efforts parameter: Low	
3. Operational/Technical risk parameter: Low	4. Financial impact parameter: No cost impact	
Requestor Category: 4CB	Status: Authorised at Steering Level	

Reason for change and expected benefits/business motivation:

Revisions and Audit Trail - List screen should provide a complete audit trail taking into account all changes performed by T2S System Users or T2S including status changes (T2S.05.270, T2S.06.600, T2S.16.120 ff.). This audit trail, sorted by the timestamp when a change occurred, should be displayed in the same manner for static and transactional data.

Currently, Revisions and Audit Trail - List screen does not provide complete audit trail information for transactional data (e. g. settlement instructions).

A re-design of the screen layout and content is needed in order to fulfil the above mentioned requirements. Revisions and Audit Trail - List screen should newly compose information currently available on the current list and details screens in one screen. Thus, it will provide a compact, systematic and easy to read overview on the attributes which were changed with their old and new value which is requested in Business Functionality Document T2S.GUI.OSSE.REV.0020.

Description of requested change:

The re-designed Revisions and Audit Trail – List screen should look as follows:

Revisions – List					
Object Type (e. g. Settlement Instruction)			Business Item Identifier (e. g. Settlement Instruction Technical Identifier)		
	Attribute Name	Old Value	New Value	User	Date and Time
o	<empty>	<empty>	<empty>	e.g. User123	e. g. 2014-05-28 12-14-16
	e. g. Approval Status				
	e. g. Priority				
Show <input type="text" value="XX"/> entries <input type="button" value="First"/> <input type="button" value="Previous"/> Page <input type="text" value="XX"/> of <input type="text" value="XX"/> <input type="button" value="Next"/> <input type="button" value="Last"/>					
<input type="button" value="Details"/>					

The need to go to Revisions and Audit Trail - Details screen should still be present, but only for changes of static data objects. The need to display additional detailed information in e. g. a pop-up window is, according to the current specification, only present for Unlinking/Linking for settlement instructions and settlement restrictions on cash and securities. Revisions and Audit Trail information for all other objects should be completely displayed in Revisions and Audit Trail – List Screen.

As Revisions and Audit Trail – Details screen should newly be used for comparing static data revision only; there is no need to have a transactional data audit trail details query. All audit trail relevant information will be displayed in Revisions and Audit Trail – List screen. Therefore, the query should be dropped and consistently deleted from the functional documentation; incl. UDFS and UHB. Different sections of the UHB should mention the correct privileges for Revisions/Audit Trail – List Screen and Revisions/Audit Trail – Details Screen. All privileges which are not relevant for those screens should not be mapped anymore.

Submitted annexes / related documents:

Proposed wording for the SYS Change request:

UDFS

1.6.4.3.3 Query Management Process, p. 647, Table 161 – Availability of Queries in A2A and U2A mode

TABLE 1 – AVAILABILITY OF QUERIES IN A2A AND U2A MODE

Query Type	Initiation via GUI (U2A mode)	Initiation via XML Messages (A2A mode)
Tolerance Amount Query	x	
Transactional Data Audit Trail Details Query	*	
Transactional Data Audit Trail List Query	x	

1.6.5.7.6 Billing Data Collection Process, p. 703, Table 170 – U2A Queries and Business Items

TABLE 2 – U2A QUERIES AND BUSINESS ITEMS

Query Name	Business Item
Total collateral value per T2S Dedicated Cash Account Query	T2S Dedicated Cash Account
Transactional Data Audit Trail Details Query	Transactional Data Audit Trail Details Query
Transactional Data Audit Trail List Query	Transactional Data Audit Trail List Query

3.3.3.31.2 The T2S-specific schema ServiceltemNamesandCodes.xlsx:

U2A Query – Outside Congestion Period – Transactional Data Audit Trail Details Query	0247	Information Services
U2A Query – During Congestion Period – Transactional Data Audit Trail Details Query	0382	Information Services
U2A Query – Downloaded – Transactional Data Audit Trail Details Query	0517	Information Services

UHB

2.5.11.1 Revisions/Audit Trail – List Screen, p. 1211-1213

Privileges

To use this screen, you need (depending on the underlying object) the following privileges [► 2017]:

- ~~– Intra-balance movement audit trail detail query~~
- ~~– Intra-position movement audit trail details query~~
- ~~– Hold/release instruction audit trail details query~~

- ~~┆ Amendment instruction for intra-balance movement audit trail details query~~
- ~~┆ Amendment instruction for intra-position movement or settlement instruction audit trail details query~~
- ~~┆ Cancellation instruction for intra-balance movement audit trail details query~~
- ~~┆ Cancellation instruction intra-position movement or settlement instruction audit trail details query~~
- ~~┆ Immediate liquidity transfer order audit trail details query~~
- ┆ Amendment Instruction for Intra-Position Movement or Settlement Instruction Audit Trail List Query
- ┆ Amendment Instruction for Intra-Balance Movement Audit Trail List Query
- ┆ Cancellation Instruction for Intra-Balance Movement Audit Trail List Query
- ┆ Cancellation Instruction for Intra-Position Movement or Settlement Instruction Audit Trail List Query
- ┆ Intra-Balance Movement Audit Trail List Query
- ┆ Intra-Position Movement Audit Trail List Query
- ┆ Immediate Liquidity Transfer Order Audit Trail List Query
- ┆ Party audit trail query
- ┆ Residual static data audit trail query
- ┆ Securities audit trail query
- ┆ Securities account audit trail query
- ┆ Settlement instruction audit trail query
- ┆ T2S dedicated cash account audit trail query

Screenshot 

Deletion of the screenshot.

The new screenshot needs to be included. It is currently not available due to ongoing development activities.

Field

Description

Revisions – List	
Object Type	Shows the type of the selected object.
<u>Business Item Identification</u>	
Business Item Identification 1	Shows the identification of the respective business object.
Business Item Identification 2	Shows the additional identification of the respective business object. This field is only available in case a second business identification is needed.
<u>User 1</u> <u>Revision/Audit Trail Entry</u>	
<u>Attribute Name</u>	<u>Shows the name of the field which changed.</u>
<u>Old Value</u>	<u>Shows the old value of an attribute which was subject to a change.</u>
<u>New Value</u>	<u>Shows the new value of an attribute after the change.</u>
User	Shows the identification of the user who changed the data.
Date and Time	Shows the date and time at which 'User 1' <u>the user</u> changed the data. Displayed format is: YYYY-MM-DD hh:mm:ss:µsµsµsµsµs

Revisions – List	
User 2	
User	Shows the identification of the user who confirmed the change of data (in case of 4-eyes mode).
Date and Time	Shows the date and time at which 'User 2' confirmed the change of data. Displayed format is: YYYY-MM-DD hh:mm:ss:µsµsµsµsµs
Approval Type	
Approval Type	Shows the type of approval from the possible values: <ul style="list-style-type: none"> ▮ None (2-eyes mode) ▮ Approval (4-eyes mode)

Buttons

Details	This function enables you to display the details of the selected revisions. Next screen for static data revisions/audit trail : <ul style="list-style-type: none"> ▮ <i>Revisions/audit trail – details</i> screen [▶ Error! Bookmark not defined.]
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2.5.11.2 Revisions/Audit Trail – Details Screen, p. 1213-1217

Privileges

To use this screen, you need (depending on the underlying object) the following privileges [▶ 2013]:

- ▮ ~~Intra-balance movement audit trail list query~~
- ▮ ~~Intra-position movement audit trail list query~~
- ▮ ~~Hold/release instruction audit trails list query~~
- ▮ ~~Amendment instruction for intra-balance movement audit trail list query~~
- ▮ ~~Amendment instruction for intra-position movement or settlement instruction audit trail list query~~
- ▮ ~~Cancellation instruction for intra-balance movement audit trail list query~~
- ▮ ~~Cancellation instruction for intra-position movement or settlement instruction audit trail list query~~
- ▮ ~~Immediate liquidity transfer order audit trail list query~~
- ▮ ~~Settlement instruction audit trail privilege~~
- ▮ Party audit trail query
- ▮ [Residual static data audit trail query](#)
- ▮ Securities account audit trail query
- ▮ Securities audit trail query
- ▮ T2S dedicated cash account audit trail query
- ▮ ~~Residual static data audit trail query~~
- ▮ ~~Intra-balance movement audit trail detail query~~
- ▮ ~~Intra-position movement audit trail details query~~
- ▮ ~~Hold/release instruction audit trails details query~~
- ▮ ~~Amendment instruction for intra-balance movement audit trail details query~~
- ▮ ~~Amendment instruction for intra-position movement or settlement instruction audit trail details query~~

- ~~┆ Cancellation instruction for intra-balance movement audit trail details query~~
- ~~┆ Cancellation instruction for intra-position movement or settlement instruction audit trail details query~~
- ~~┆ Immediate liquidity transfer order audit trail details query~~

3.11.1.1 View Revisions, p. 1328-1329

Privileges

To carry out this business scenario, you need (depending on the underlying object) the following privileges:

- ~~┆ Hold/release instruction audit trail list query~~
- ┆ Amendment instruction for intra-balance movement audit trail list query
- ┆ Amendment instruction for intra-position movement or settlement instruction audit trail list query
- ┆ Cancellation instruction for intra-balance movement audit trail list query
- ┆ Cancellation instruction intra-position movement or settlement instruction audit trail list query
- ┆ Immediate liquidity transfer order audit trail list query
- ┆ Intra-balance movement audit trail list query
- ┆ Intra-position movement audit trail list query
- ┆ Party audit trail query
- ┆ Residual static data audit trail query
- ┆ Securities audit trail query
- ┆ Securities account audit trail query
- ┆ Settlement instruction audit trail privilege
- ┆ T2S dedicated cash account audit trail query
- ~~┆ Intra-balance movement audit trail details query~~
- ~~┆ Intra-position movement audit trail details query~~
- ~~┆ Hold/release instruction audit trail details query~~
- ~~┆ Amendment instruction for intra-balance movement audit trail details query~~
- ~~┆ Amendment instruction for intra-position movement or settlement instruction audit trail details query~~
- ~~┆ Cancellation instruction for intra-balance movement audit trail details query~~
- ~~┆ Cancellation instruction for intra-position movement or settlement instruction audit trail details query~~
- ~~┆ Immediate liquidity transfer order audit trail details query~~

6.3.3.142 Privileges for GUI Screens (Revisions/Audit Trail - Details Screen), p. 2013-2017

Privilege	Privilege Code	Privilege Type	Object Types	Screen Criteria
Amendment Instruction for Intra-Balance Movement Audit Trail List Query	DDQ_AmdInstrForIntraBalMovAuditTrLisQ	Object	T2S-Dedicated Cash Account	n/a
Amendment Instruction for Intra-Position Movement or Settlement Instruction Audit Trail List Query	DDQ_AmdIntrPosMovSetInsAuditTrLisQ	Object	Securities Account	Transactional Data Object Type

Privilege	Privilege Code	Privilege Type	Object Types	Screen Criteria
Amendment Instruction for Intra-Balance Movement Audit Trail Details Query	DDQ_Amdl nstrForIntra BalMovAud TrDetQ	Object	T2S-Dedicated Cash Account	Transactional Data Object Type
Amendment Instruction for Intra-Position Movement or Settlement Instruction Audit Trail Details Query	DDQ_Amdl nsIntrPosM ovSetInsAu dTrDetQ	Object	Securities Account	Transactional Data Object Type
Cancellation Instruction for Intra-Balance Movement Audit Trail List Query	DDQ_Canc InstrIntraBa lanMovAud TrLisQ	Object	T2S-Dedicated Cash Account	n/a
Cancellation Instruction for Intra-Position Movement or Settlement Instruction Audit Trail List Query	DDQ_Canc InstrIntraPo sMovAudTr LisQ	Object	Securities Account	Transactional Data Object Type
Cancellation Instruction for Intra-Balance Movement Audit Trail Details Query	DDQ_Canc InstrIntraBa lanMovAud TrDetQ	Object	T2S-Dedicated Cash Account	Transactional Data Object Type
Cancellation Instruction for Intra-Position Movement or Settlement Instruction Audit Trail Details Query	DDQ_Canc InstrIntraPo sMovAudTr DetQ	Object	Securities Account	Transactional Data Object Type
Hold/Release Instruction Audit Trails List Query	DDQ_Hold ReloInstrA uditTrailLis Query	Object	Securities Account	n/a
Hold/Release Instruction Audit Trails Details Query	DDQ_Hold ReloInstrA uditTrailDet Query	Object	Securities Account	Transactional Data Object Type
Immediate Liquidity Transfer Order Audit Trail List Query	DDQ_Imm edLiquidTr ansOrderA udTrListQ	Object	T2S-Dedicated Cash Account	n/a
Immediate Liquidity Transfer Order Audit Trail Details Query	DDQ_Imm edLiquidTr ansOrderA udTrdettQ	Object	T2S-Dedicated Cash Account	Transactional Data Object Type
Intra-Balance Movement Audit Trail List Query	DDQ_Intra BalanMovA uditTrailLis Query	Object	T2S-Dedicated Cash Account	n/a
Intra-Balance Movement Audit Trail Detail Query	DDQ_Intra BalanMovA uditTrailDet Query	Object	T2S-Dedicated Cash Account	Transactional Data Object Type
Intra-Position Movement Audit Trail List Query	DDQ_Intra PosMovAu ditTrailList Query	Object	Securities Account	n/a
Intra-Position Movement Audit Trail Details Query	DDQ_Intra PosMovAu	Object	Securities Account	Transactional Data Object Type

Privilege	Privilege Code	Privilege Type	Object Types	Screen Criteria
	ditTrailDetQuery			
Party Audit Trail Query	PDQ_PartyAudTrailQuery	Object	Party	Object Type = Party
Residual Static Data Audit Trail Query	SDQ_ResidualStaticDataAudTrailQuery	System	n/a	Object Type is not Party, T2S Dedicated Cash Account, Securities or Securities Account
Securities Account Audit Trail Query	SAQ_SecuritiesAccAudTrailQuery	Object	Securities Account	Object Type = Securities Account
Securities Audit Trail Query	SEQ_SecuritiesAudTrailQuery	Object	Security	Object Type = Securities
Settlement Instruction Audit Trail Query	DDQ_SettlInstrctAudtTrailQuery	Object	Securities Account	n/a
T2S Dedicated Cash Account Audit Trail Query	DCQ_T2SDedicCashAccAudTrailQuery	Object	Party	Object Type = T2S Dedicated Cash Account

6.3.3.143 Privileges for GUI Screens (Revisions/Audit Trail - List Screen), p. 2017-2020

Privilege	Privilege Code	Privilege Type	Object Types	Screen Criteria
Amendment Instruction for Intra-Balance Movement Audit Trail Details Query	DDQ_AmdlInstrForIntraBalMovAudTrDetQ	Object	T2S Dedicated Cash Account	Transactional Data Object Type
Amendment Instruction for Intra-Position Movement or Settlement Instruction Audit Trail Details Query	DDQ_AmdlnsIntrPosMovSetlInsAudTrDetQ	Object	Securities Account	n/a
Cancellation Instruction for Intra-Balance Movement Audit Trail Details Query	DDQ_CancInstrIntraBalnMovAudTrDetQ	Object	T2S Dedicated Cash Account	Transactional Data Object Type
Cancellation Instruction for Intra-Position Movement or Settlement Instruction Audit Trail Details Query	DDQ_CancInstrIntraPosMovAudTrDetQ	Object	Securities Account	n/a

Privilege	Privilege Code	Privilege Type	Object Types	Screen Criteria
Hold/Release Instruction Audit Trail Details Query	DDQ_HoldRelInstrAuditTrailDetQuery	Object	Securities Account	Transactional Data Object Type
Immediate Liquidity Transfer Order Audit Trail Details Query	DDQ_ImmediateLiquidTransOrderAuditTrailDetQ	Object	T2S Dedicated Cash Account	Transactional Data Object Type
Intra-Balance Movement Audit Trail Detail Query	DDQ_IntraBalanMovAuditTrailDetQuery	Object	T2S Dedicated Cash Account	Transactional Data Object Type
Intra-Position Movement Audit Trail Details Query	DDQ_IntraPosMovAuditTrailDetQuery	Object	Securities Account	Transactional Data Object Type
Settlement Instruction Audit Trail Query	DDQ_SettlInstrctAuditTrailQuery	Object	Securities Account	n/a
<u>Amendment Instruction for Intra-Position Movement or Settlement Instruction Audit Trail List Query</u>	<u>DDQ_AmdlnsIntrPosMovSetlnsAudTrLisQ</u>	Object	<u>Securities Account</u>	<u>n/a</u>
<u>Amendment Instruction for Intra-Balance Movement Audit Trail List Query</u>	<u>DDQ_AmdlnstrForIntraBalMovAudTrLisQ</u>	Object	<u>T2S Dedicated Cash Account</u>	<u>n/a</u>
<u>Cancellation Instruction for Intra-Balance Movement Audit Trail List Query</u>	<u>DDQ_CancInstrIntraBalanMovAudTrLisQ</u>	Object	<u>Securities Account</u>	<u>n/a</u>
<u>Cancellation Instruction for Intra-Position Movement or Settlement Instruction Audit Trail List Query</u>	<u>DDQ_CancInstrIntraPosMovAudTrLisQ</u>	Object	<u>T2S Dedicated Cash Account</u>	<u>n/a</u>
<u>Immediate Liquidity Transfer Order Audit Trail List Query</u>	<u>DDQ_ImmediateLiquidTransOrderAudTrListQ</u>	Object	<u>T2S Dedicated Cash Account</u>	<u>n/a</u>
<u>Intra-Balance Movement Audit Trail List Query</u>	<u>DDQ_IntraBalanMovAuditTrailLisQuery</u>	Object	<u>T2S Dedicated Cash Account</u>	<u>n/a</u>
<u>Intra-Position Movement Audit Trail List Query</u>	<u>DDQ_IntraPosMovAuditTrailListQuery</u>	Object	<u>Securities Account</u>	<u>n/a</u>
Party Audit Trail Query	PDQ_PartyAudTrailQuery	Object	Party	Object Type = Party

Privilege	Privilege Code	Privilege Type	Object Types	Screen Criteria
Securities Account Audit Trail Query	SAQ_SecuritiesAccAuditTrailQuery	Object	Securities Account	Object Type = Securities Account
Securities Audit Trail Query	SEQ_SecuritiesAuditTrailQuery	Object	Security	Object Type = Securities
<u>Settlement Instruction Audit Trail Query</u>	<u>DDQ_SettlementInstructionAuditTrailQuery</u>	<u>Object</u>	<u>Securities Account</u>	<u>n/a</u>
T2S Dedicated Cash Account Audit Trail Query	DCQ_T2SDedicCashAccAuditTrailQuery	Object	<u>T2S Dedicated Cash Account Party</u>	Object Type = T2S Dedicated Cash Account
Residual Static Data Audit Trail Query	SDQ_ResidualStaticDataAuditTrailQuery	System	n/a	Object Type is not Party, T2S Dedicated Cash Account, Securities or Securities Account

High level description of Impact:

Content (complete audit trail) and Layout (structured overview, easy to read) of Revisions and Audit Trail – List screen have to be updated according to the CR in the documentation and software.

Outcome/Decisions:

- * CRG meeting of 15 December 2014: The CRG recommended the approval of the Change Requests.
- * OMG on 6 January 2015: During a written procedure from 19 December 2014 to 6 January 2015, the Operations Managers Group did not identify any operational impact of the Change Request.
- * Advisory Group's advice on 20 January 2015: Following a written procedure, the AG was in favour of the Change Request.
- * CSG resolution on 21 January 2015: Following a written procedure, the CSG adopted the resolution to approve the Change Request.